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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	49721/61202
First Inventor	Ronald F. HARTUNG et al.
Title	Process for treatment of mineral clay slurry
Express Mail Label No.	EL 794581102 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

031088 U.S. PTO  
10/719178

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
- ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
- ☒ Specification [Total Pages 13]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 2]
- Oath or Declaration [Total Sheets 4]
  - ☐ Newly executed (original or copy)
  - ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
  - ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
name in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☐ Application Data Sheet. See 37 CFR 1.76

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - ☐ Computer Readable Form (CRF)
  - Specification Sequence Listing on:
    - ☐ CD-ROM or CD-R (2 copies); or
    - ☐ Paper
  - ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee)
- ☐ English Translation Document (if applicable)
- ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
- ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☒ Other: Transmittal Letter (2 pages).....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: .....

Prior application information:

Examiner

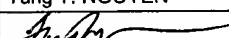
Art Unit:

For CONTINUATION OF DIVISIONAL APPS only; The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number: 26116 OR ☐ Correspondence address below

Name			
Address			
City	State	Zip Code	
Country	Telephone	Fax	

Name (Print/Type)	Tung T. NGUYEN	Registration No. (Attorney/Agent)	42,935
Signature		Date	11/21/2003

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$)**788.00**

## Complete if Known

Application Number	
Filing Date	
First Named Inventor	Ronald F. HARTUNG et al.
Examiner Name	
Art Unit	
Attorney Docket No.	49721/61202

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number: **18-1260**  
Deposit Account Name: **Sidley Austin Brown & Wood LLP**

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 <b>770</b>	2001 385	Utility filing fee	<b>770</b>
1002 340	2002 170	Design filing fee	
1003 530	2003 265	Plant filing fee	
1004 770	2004 385	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1)			(\$) <b>770</b>

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
<b>21</b>	-20** = <b>1</b>	<b>18</b>	<b>18</b>
Independent Claims	<b>2</b>	-3** = <b>0</b>	<b>0</b>
Multiple Dependent		<b>0</b>	<b>18</b>

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1202 <b>18</b>	2202 9	Claims in excess of 20
1201 86	2201 43	Independent claims in excess of 3
1203 290	2203 145	Multiple dependent claim, if not paid
1204 86	2204 43	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)**18**

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 420	2252 210	Extension for reply within second month	
1253 950	2253 475	Extension for reply within third month	
1254 1,480	2254 740	Extension for reply within fourth month	
1255 2,010	2255 1,005	Extension for reply within fifth month	
1401 330	2401 165	Notice of Appeal	
1402 330	2402 165	Filing a brief in support of an appeal	
1403 290	2403 145	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,330	2453 665	Petition to revive - unintentional	
1501 1,330	2501 665	Utility issue fee (or reissue)	
1502 480	2502 240	Design issue fee	
1503 640	2503 320	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))	
1801 770	2801 385	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

## SUBMITTED BY

(Complete if applicable)

Name (Print/Type)	<b>Tung T. NGUYEN</b>	Registration No. (Attorney/Agent)	<b>42,935</b>	Telephone	<b>214-981-3478</b>
Signature		Date	<b>11/21/2003</b>		

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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# SIDLEY AUSTIN BROWN & WOOD LLP

CHICAGO  
LOS ANGELES  
NEW YORK  
SAN FRANCISCO  
WASHINGTON, D.C.

717 NORTH HARWOOD  
SUITE 3400  
DALLAS, TEXAS 75201  
TELEPHONE 214 981 3300  
FACSIMILE 214 981 3400  
www.sidley.com

FOUNDED 1866

BEIJING  
GENEVA  
HONG KONG  
LONDON  
SHANGHAI  
SINGAPORE  
TOKYO

WRITER'S DIRECT NUMBER  
(214) 981-3478

WRITER'S E-MAIL ADDRESS  
tnguyen@sidley.com

November 21, 2003

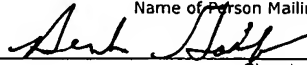
**MAIL STOP PATENT APPLICATION**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**EXPRESS MAIL MAILING LABEL No.: EL 794581102 US**  
**DATE OF DEPOSIT: NOVEMBER 21, 2003**

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to:  
MAIL STOP PATENT APPLICATION, Commissioner For Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

**Derrick Gordon**

Name of Person Mailing Paper or Fee



Signature

**NOVEMBER 21, 2003**

Date of Signature

Re: **New U.S. Patent Application Transmittal**  
For: **PROCESS FOR TREATMENT OF MINERAL CLAY SLURRY**  
By: **Ronald F. HARTUNG, John M. KEATING,**  
**and T. Michael CHANCEY**  
Attorney Docket No.: 49721/61202

Dear Sir:

This Utility Patent Application Transmittal is submitted in connection with a PROCESS FOR TREATMENT OF MINERAL CLAY SLURRY, by Ronald F. HARTUNG, John M. KEATING, and T. Michael CHANCEY, inventors, and is related to U.S. Provisional Patent Application No. 60/428,433 filed November 22, 2002:

Enclosed herewith are the following:

**APPLICATION ELEMENTS:**

- 1) A duplicate copy of this Transmittal Letter (containing a breakdown of amount of fees due and authorization to charge Deposit Account No. 18-1260);
- 2) Specification (13 pages, including 21 claims and an abstract);
- 3) Drawings (Figs. 1-2, 2 sheets);
- 4) Unexecuted Declaration and Power of Attorney (4 pages);
- 5) Form PTO/SB05, Utility Patent Application Transmittal (1 page); and
- 6) Form PTO/SB/17, Fee Transmittal for FY 2003, with authorization to charge Deposit Account No. 18-1260, 1 page in duplicate).

**MAIL STOP PATENT APPLICATION**

Commissioner For Patents

November 21, 2003

Page 2

**ACCOMPANYING APPLICATION PARTS:**

- 1) Information Disclosure Statement ( pages), with PTO Form-1449 (1 page) and one copy of each cited reference (total references: 17).

The amount of the filing fee is calculated below:

			Fee for small entity			Fee for other than small entity	
Fee	No. filed	No. extra	Rate	Fee	OR	Rate	Fee
Basic fee				\$385	OR		\$770
Total claims	21-20=	1	X \$9=	\$	OR	X \$18=	\$ 18
Independent claims	2-3=	0	X \$43=	\$	OR	X \$86=	\$ -0-
Multiple Dependent Claim Presented	0	0	+\$145=	\$0	OR	+\$290=	\$ -0-
			Total	\$	OR	Total	\$ 788.00


\*If the difference in Column 1 is less than zero, enter "0" in Column 2.

Please charge the required fees in the amount of \$788.00 (\$770.00 for the basic filing fee, and \$18.00 for the excess claims fee) to SIDLEY AUSTIN BROWN & WOOD LLP's Deposit Account No. 18-1260. If additional fees are due, please charge any fees required during the pendency of this application (other than the issue fee) to Deposit Account No. 18-1260. Please credit any overpayment to Deposit Account No. 18-1260.

This transmittal letter is being filed in duplicate.

All correspondence is to be directed to the address associated with the **Customer Number 26116**.

Respectfully submitted,

By:   
 Tung X. Nguyen  
 Registration No. 42,935  
 Attorney for Applicants

TTN/fis  
 Enclosures